

Department of Energy



DOE A-123 Corrective Action Plan

Chicago Office - LBNL

June 23, 2006



DOE A-123

- **Corrective Action Plan** -

Chicago Office LBNL

INTRODUCTION

The Corrective Action Plan is a step-by-step plan of action and schedule for resolving internal control weaknesses identified by the DOE A-123 process. The process includes:

- Reviewing and defining the problem
- Finding the cause of the problem
- Developing an action plan to correct the problem and prevent recurrence
- Implementing the plan
- Evaluating the effectiveness of the correction (*Follow up*).

TITLE	<i>Corrective actions relating to Personnel Action Administration and Employee access to ERP systems</i>
CAP #	<i>LBNL-6</i>
Date Identified	June 2005 through March 2006
Process Cycle (s) & Process(es)	Enterprise Resource Management - <i>Personnel Action Administration and Recruitment and Staffing</i>

1.0 SUMMARY OF DEFICIENCIES

An Internal Audit conducted for Timekeeping and Labor Distribution in 2005 concluded the lack of timeliness in effecting the required Personnel Actions. This conclusion underscores control weaknesses in processing employee termination timely. The most significant risk in not processing employee termination timely is the violation of applicable labor laws while other potential risks may be unauthorized use of Lab property or transactions on behalf of the Lab. Overall, the Human Resources Center (HRC) has ensured the required Personnel Actions are effected timely as soon as it receives instructions from the acting supervisors; the instructions do not always reach the HRC in a timely manner – the acting supervisors do not always notify HRC timely in the event of employee terminations. Therefore, the Remediation efforts in question will focus on a targeted audience through direct communication to the acting supervisors and/or divisional management. Communication will also be issued again to the general Lab audience as a reminder of the importance of timely and effective personnel action management. Such communication and training material shall be developed by HRC as well as the Controller's office (OCFO).

There have not been clear guidelines regarding the level of access to ERP systems of the employees who have been on extended leaves. It is the recommendation of the OMBA-123 implementation project team that a restricted level of access should be created and granted to those who have been on extended (longer than six months) leaves. The idea is to grant access appropriate to the official business needs of the



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employees, and such needs of those who have been on extended leaves are, more often than not, at a minimum. A minimum level access also prevents anyone from tempering with system data. The Office of the Controller shall work with the systems administrators so employees on leave can be granted a proper level of access to various ERP systems.

2.0 RESPONSIBLE OFFICIAL

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If other Departmental organizations are involved in related remediations or need to be involved to ensure standardization and/or integration with other efforts (e.g. Tiger Team, etc.), identify the point(s) of contact:

<i>Name</i>	<i>Organization</i>	<i>Role</i>
Marty Straka 630-252-7724	DOE Chicago OMBA-123 implementation contact	OMBA-123 implementation contact

3.0 REMEDIATION STRATEGY/DESCRIPTION

[Provide a brief description of the overall approach to correct the deficiency. Include information such as:

- Remediation target: [Does the remediation focus on: Business processes, systems, training, communications, policies & procedures or other areas? Indicate all that apply.]*
- Systems Impacted: [e.g. STARS, FDS, Bears, etc]*
- Impact on corporate processes: [Is the remediation the results of corporate issues that would benefit from remediation at a Departmental level?]*
- Short-Term/Long-Term: [Is this a remediation that is intended to be a short-term or long-term fix?]*

The proposed corrective actions shall revolve around further communication to and education of general and targeted Lab audience regarding the operational, legal, and financial impact of ineffective and inefficient personnel action administration. The systems impact is going to be moderate: General message delivery via Today at Berkeley Lab and on going systems access monitoring and administration. It is the OMBA-123 implementation project team's belief that the recommended corrective actions should result in more efficient Personnel Action administration which will reduce unnecessary overhead costs in remedying ineffective personnel action



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practices as well as minimizing any potential legal liabilities from such ineffective practices. All the corrective actions proposed below are geared toward the ongoing monitoring of personnel action transactions as well as the training of, and the communication to the Lab audience. The OMBA-123 Implementation project team and the Office of the Controllers recommended a Lab-wide scope to the Human Resources in regards to the restricted access to ERP systems for those employees on leaves and decided on a scope of all OCFO employees for FY 2006.

4.0 MILESTONES AND TRACKING

No.	Milestones/Action	Target Completion	Revised Completion	Actual Completion	Documentation
1	Draft of message re: Timeliness of Personnel Action Administration	July 7, 2006		7/14/2006	Written message for general/targeted audience
2	Memo to all ERP System administrators re: Restricted systems access for OCFO employees on leave	July 18, 2006		8/15/2006	Memo to systems administrators: Computer Communication Access, MAXIMO, FMS, Lets, Sunflowers HRIS, and Janus
3	Delivery of the message in Today at Berkeley Lab	On or before July 26, 2006		7/27/2006	Delivery of the communication to the general Lab audience
4	Delivery of the communication to Directors and Business Managers – all divisions	August 4, 2006		8/15/2006	Delivery of the communication to the targeted Lab audience
5	Manager's responsibilities over timely personnel action administration – new supervisor/manager training	Ongoing sessions with relevant training material developed by 9/30/2006			
6	Quarterly review of number of instances of late PAF	Ongoing			Report(s) to be developed
	Documentation of New Process/Controls Complete	September 1, 2006			
	Implementation Complete	August 15, 2006			



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5.0 SIGN OFF

Plan Approved:

Nancy Talcott

Nancy Talcott

Name

Human Resources

Title

Mike Costello

Mike Costello

Name

Controller OCFO

Title

8/2/2006

Signature

Date

Signature

Date

Corrective Action(s) Completed/Implemented:

Michael Costello

Name

Controller, OCFO

Title

Michael Costello

Signature

August 15, 2006

Date